

U.S. Department of Energy
Washington, D.C.

ORDER

HQ 3430.1

6-21-84

SUBJECT: HEADQUARTERS PERFORMANCE APPRAISAL PLAN

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1. PURPOSE. To establish the Department of Energy (DOE) Headquarters performance evaluation and rating plan, and to supplement DOE 3430.3, DEPARTMENTAL PERFORMANCE APPRAISAL SYSTEM, in those areas where Departmental Elements have discretion.
 2. EXCLUSIONS. Presidential appointees, administrative law judges, experts, consultants, employees in the Senior Executive Service, the Office of the Inspector General, and employees occupying positions above the GS/GM-15 grade level are excluded from the scope of this Order.
 3. REFERENCES.
 - a. DOE 3430.3, DEPARTMENTAL PERFORMANCE APPRAISAL SYSTEM, of 9-28-80, which establishes procedures for appraising performance of Departmental employees.
 - b. DOE 3771.1, GRIEVANCE POLICY AND PROCEDURES, of 7-2-81, which provides guidance and instructions for establishing and administering the grievance system of the DOE.
 4. POLICY.
 - a. Performance standards for positions in Headquarters will be established to allow for the periodic appraisal of employee job performance.
 - b. Employees will have the opportunity to participate in the establishment of performance standards for each element, including critical job elements, communicated to them in writing.
 - c. Employees will be appraised against the performance standards for their positions at least on an annual basis and the results will be recorded in writing.
 - d. Employees failing to meet the minimum performance standards established for their positions will have an opportunity to demonstrate improved performance prior to any official action being taken against them.
 - e. Employees disagreeing with their annual ratings have the right to appeal such ratings as discussed on page 4, paragraph 9.

- f. Performance appraisals and the determinations therefrom shall be made without regard to race, color, religion, sex, national origin, age, handicap, marital status, or political affiliation.

5. RESPONSIBILITIES.

- a. Director of Headquarters Personnel Operations (MA-205) shall develop and periodically review and update the Headquarters Performance Appraisal Plan, monitor its operation, and assure compliance with it throughout the Headquarters.
- b. Supervisors shall assure the accuracy of each employee's position description, identify job elements (including critical elements) of the position, set the standards of performance, and evaluate each employee against established standards.
- c. Employees are encouraged to participate fully in the establishment of performance standards and to strive to meet them at the highest level described.
- d. Chiefs of Headquarters Personnel Operations Branches shall train and advise supervisors and employees in the use of the plan.

6. HEADQUARTERS NONMERIT PAY EMPLOYEE APPRAISAL PERIOD. For Headquarters employees not covered by merit pay, the appraisal period begins on the date an employee is hired, promoted, or demoted, or on the anniversary date (month and day) of the last such action, and ends the day before that date in the next year. A personnel action occurring during a rating period that creates a new anniversary date for an employee's next within-grade increase automatically establishes a new performance appraisal cycle for that employee.

7. ASSIGNING APPRAISAL RATINGS.

- a. Employee performance is appraised by the rating official (always the immediate supervisor) as described in DOE 3430.3, Chapters I and II. The rating official discusses the employee's performance with the reviewing official (always a supervisor in the employee's chain of command at a higher level than the rating official) before assigning ratings to the employee's individual performance elements. The purpose of this discussion is to ensure a common understanding of the employee's performance in relation to his or her standards before the formal appraisal process begins.
- b. The rating official then completes the official appraisal (DOE F 3430.8, "Performance Appraisal"), signs it, and forwards it to the reviewing official. The reviewing official reviews the rating and, if necessary, discusses it with the rating official. If there is a major disagreement

about the appraisal, the reviewing official should request that the rating official recheck the employee's actual performance. The rating may be revised at this point if necessary. The reviewing official completes the review, has the rating revised, if necessary, and signs DOE F 3430.8.

- c. Following the review process, the rating official meets with the employee and they discuss the rating. If the employee disagrees with any portion of the rating, the rating official may discuss the matter with the reviewing official and consider the employee's comments. After any such discussion the rating official will inform the employee of the results of the discussion and again discuss the rating with the employee, who may make comments about the appraisal to be included in the employee performance file. The employee then signs the appraisal form, which indicates only that the appraisal has been discussed, not that the employee necessarily concurs in the rating. The employee's signature must be obtained within 1 calendar month of the end of the rating period.
- d. Appraisals assigned, as described above, are final and official once the employee signs. If, for whatever reason, the employee refuses to sign the appraisal, the rating official documents that fact on DOE F 3430.8 or attaches the documentation to the appraisal form, thus finalizing the appraisal.
- e. The original of the final and official appraisal is given to the employee with a copy forwarded to the servicing Headquarters personnel operations branch, and a copy retained by the rating official. The personnel operations branch must receive its copy of the final and official appraisal form within 14 calendar days of the employee's signing the form.
- f. The above process is identical for merit pay and all other Headquarters employees covered by this Order.
- g. In addition to the annual appraisal, other appraisals are required when an employee is reassigned, detailed to another position for a period of 120 days or more, or temporarily promoted for a period of 120 days or more. See DOE 3430.3, Chapter I, paragraph 5, for detailed information on additional appraisals. Additional appraisals are obtained as described above, using identical time limits.
- h. To be appraised, an employee must have had performance standards for 120 calendar days and must have served at least 120 calendar days in the same position under the same supervisor. A formal appraisal is postponed until these conditions are met. An interim rating of "Fully Satisfactory" is presumed for employees who do not meet the above criteria, from the date a performance rating would normally have been due until a postponed rating is finalized.

8. EMPLOYEE PERFORMANCE FILE. The final performance appraisal (DOE F 3430.8) is filed in the employee performance file, which is maintained in the employee's official personnel folder. The employee performance file also contains a copy of the employee's performance standards, performance appraisals for the preceding two appraisal periods, any additional appraisals, any employee comments on the standards and/or appraisals, and the individual development plan, where appropriate. The employee performance file is available for employee review at any time.
9. GRIEVANCES AND APPEALS. A final performance appraisal is subject to appeal only under the Departmental or a negotiated grievance procedure. The servicing Headquarters personnel operations branches are available to advise employees of their grievance rights.



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